

AIR FORCE Small Business Innovation Research (SBIR) Phase II Proposal Instructions

**All Phase II proposals must be prepared and submitted through the Department of Defense (DoD)
Electronic Submission Site: <https://sbir.defensebusiness.org/>**

I. NOTIFICATION

Only Small Business Innovation Research/Small Business Technology Transfer (SBIR/STTR) Phase I awardees are eligible to submit SBIR Phase II proposals. The Phase I firm must qualify as a small business concern as defined in the DoD SBIR Broad Agency Announcement at the time of Phase II award. Firms are highly encouraged to revisit the DoD SBIR/STTR Announcements from which their awards resulted to become reacquainted with requirements and elements common to both Phase I and II procurements. NOTE: The Government is not obligated to make any awards under Phase II, nor is it responsible for expenditures by the offeror prior to award of a contract. All awards are subject to availability of funds and successful negotiations.

II. PROPOSAL SUBMISSION

The Air Force SBIR/STTR Program Office has instituted new requirements in an initiative to combat fraud in the SBIR/STTR program. As a result, each Small Business is required to visit the AF SBIR Program website and read through the "Compliance with Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Rules" training located at the bottom of this page: www.wpafb.af.mil/AFSBIRSTTR. The Certificate of Training Completion at the end of the training presentation and/or as pg. AF-12 of this document, **MUST be signed by an official of your company, Please attach and upload this document to the back of your technical volume. This form will not count against the 50-page limitation.**

All proposals must be submitted electronically at <https://sbir.defensebusiness.org/> The complete proposal, i.e., DoD coversheet, technical proposal with appendices, cost proposal, and Company Commercialization Report, must be submitted by the date and time indicated in the notification. The **technical proposal** is limited to 50 pages. The commercialization report, advocacy letters (if any), "SBIR/STTR Environment, Safety and Occupational Health (ESOH) Questionnaire", (Attachment 1) and the additional cost proposal itemized listing (a through i) should be included as the last pages of the uploaded technical volume. This documentation will not count toward the 50 page limitation. Only one Phase II proposal file can be uploaded to the DoD Submission Site. Ensure your complete technical volume and additional cost volume information is included in this sole submission. The preferred submission format is Portable Document Format (.pdf). Graphics must be distinguishable in black and white. **VIRUS-CHECK ALL SUBMISSIONS.**

Phase II proposals require a comprehensive, detailed submission of the proposed effort. AF Phase II efforts are typically 27 months; 24 months for technical performance and three (3) months for completion of the final report. AF Phase II efforts are awarded at an initial value not to exceed \$750,000. Proposals should demonstrate technical progress or results from the Phase I contract have sufficient promise to solve an important scientific or engineering problem to warrant more extensive research/research and development (R/R&D). Commercial and military potential of the technology under development is extremely important. Proposals emphasizing dual-use applications and commercial exploitation of resulting technologies are sought.

All Phase II R/R&D must be performed by the small business and its team members in the United States, as defined in the Announcement under which the Phase I was awarded in Section 4.2. The primary employment of the Phase II principal investigator must be with the small business concern at the time of award and during conduct of the entire proposed effort. Primary employment is defined as more than one-half of the principal investigator's time being spent working for the small business. This precludes full-time employment with another organization.

Knowingly and willfully making false, fictitious, or fraudulent statements or representations may be a felony under the Federal Criminal Statement Act, 18 U.S.C. Section 1001, punishable by a fine up to \$10,000, up to five years in prison, or both.

III. PHASE II PROPOSAL PREPARATION INSTRUCTIONS AND PROPOSAL REQUIREMENTS

A. Proposal Requirements. A Phase II proposal should provide sufficient information to persuade the AF the proposed continuation of work represents an innovative solution to the scientific or engineering problem and is worthy of support under the stated criteria. All sections below count toward the page limitation, unless otherwise specified.

B. Proprietary Information. Information constituting a trade secret, commercial or financial information, confidential personal information, or data affecting national security must be clearly marked. It shall be treated in confidence to the extent permitted by law. Be advised, in the event of proposal selection it is likely the Work Plan or Statement of Work (SOW) will be incorporated into the resulting contract, in whole or part, by reference or as an attachment. Therefore, segregate any information to be excluded from public release pursuant to the Freedom of Information Act (FOIA). See Section 5.3 of the DoD Announcement regarding marking of proprietary information.

C. General Content. Proposals should be direct, concise, and informative. Type shall be no smaller than 12- pitch or 11-point on standard 8 ½" X 11" paper, with one-inch margins and pages consecutively numbered. Offerors are discouraged from including promotional and non-programmatic items.

D. Proposal Format.

- (1) **Coversheet** – Complete and submit the SBIR Proposal Coversheet in accordance with the instructions provided at <https://sbir.defensebusiness.org/>. The technical abstract should include a brief description of the program objective(s), a description of the effort, anticipated benefits and commercial applications of the proposed research, and a list of key words/terms. The technical abstract of each successful proposal will be submitted to the Office of the Secretary of Defense (OSD) for publication and, therefore, must not contain proprietary or classified information. The term "Component" on the coversheet refers to the AF organization requesting the Phase II proposal. NOTE: This page is not considered as part of the 50 page limitation. The technical proposal includes all items listed below in the order provided.
- (2) **Table of Contents** – A table of contents should be located immediately after the coversheet.
- (3) **Glossary** – Include a glossary of acronyms and abbreviations used in the proposal.

- (4) **Milestone Identification** – Include a program schedule with all key milestones identified. If options are proposed, the schedule should provide notional option start date and period of performance.
- (5) **Identification and Significance of the Problem or Opportunity** – Briefly reference the specific technical problem/opportunity addressed in Phase I and its relationship to Phase II.
- (6) **Phase II Technical Objectives** – The proposal should include an assessment of the potential commercial application for each objective.
- (7) **Phase II Work Plan** – If the Phase II requires submittal of a work plan, provide a detailed description of the Phase II approach. At the beginning of the plan, include an outline in the following format:
 - a. Scope – List the major requirements and specifications of the effort;
 - b. Task Outline – Provide a brief outline of the work to be accomplished over the span of the effort;
 - c. Milestone Schedule; and
 - d. Deliverables (see paragraph (9) below).

NOTE: Proprietary information shall NOT be included in the work plan.

The plan should include the location and mechanics of accomplishing the planned approach. Phase II efforts attempt to accomplish the technical feasibility demonstrated in Phase I, including transition of results to the private sector or Government customer. The methods to achieve each objective or task should be discussed in detail.

The Work Plan must contain separate sections or paragraphs specifically addressing the following:

- a. Safety requirements are to be followed in the design and performance of the proposed project. If hardware is to be developed, the contract will require at least a preliminary hazard analysis.
- b. If the proposed effort involves the use of potentially hazardous materials with potential risk to personnel or property, the following are required:
 - i. Identification of material;
 - ii. Purpose of the specific material; and
 - iii. Possible alternatives/procedures/safeguards to minimize risk.

Complete the attached SBIR/STTR Environment, Safety, and Occupational Health (ESOH) Questionnaire and include it with the proposal. This form does not count toward the 50-page limitation.

- (8) **Proposer-Prepared Statement of Work (SOW)** – If the Phase II proposal submission requires a SOW, it shall be a separate and distinct part of the proposal package, using a page break to divide it from the technical proposal. The proposed SOW must contain a summary description of the technical methodology and task description in broad enough detail to

provide contractual flexibility. The following is the recommended format for the SOW; begin this section on a new page. **DO NOT include proprietary information in the SOW.**

- a. 1.0 – Objective: This section is intended to provide a brief overview of the specialty area. It should explain why it is being pursued and the expected outcome.
- b. 2.0 – Scope: This section should provide a concise description of the work to be accomplished, including the technology area to be investigated, goals, and major milestones. However, the key elements of this section are task development and deliverables, i.e., the anticipated end result and/or product of the effort. This section must also be consistent with the information in 4.0 (below).
- c. 3.0 – Background: The proposer shall identify appropriate specifications, standards, and other documents applicable to the effort. This section includes any information, explanation, or constraints to understanding the requirements. It may include relationships to previous, current, and/or future operations. It may also include techniques previously found to be ineffective.
- d. 4.0 – Task/Technical Requirements: The detailed description of the individual tasks to accomplish the work to be performed is considered to be legally binding on the proposer. Therefore, it must be developed in an orderly progression with sufficient detail to establish overall program requirements and goals. The work effort must be segregated into major tasks and identified in separately numbered paragraphs.

Each numbered major task should delineate by subtask the work to be performed. The SOW MUST contain every task to be accomplished; they must be definite, realistic, and clearly stated. Use “shall” whenever the SOW expresses a binding provision. Use “should” or “may” to express a declaration or purpose. Use “will” when no contractor requirement is involved, i.e., “. . . power will be supplied by the Government.”

- (9) **Deliverables** – Include a section clearly describing the specific sample/prototype hardware/software to be delivered, as well as data deliverables, schedules, and quantities. Be aware of the possible requirement for unique item identification IAW DFARS 252.211-7003, Item Identification and Valuation, for hardware. If hardware/software will be developed but not delivered, provide an explanation. At a minimum, the following reports will be required under ALL Phase II contracts.

- a. Scientific and Technical Reports –The Government obtains SBIR data rights in technical data and computer software generated under SBIR/STTR contracts and marked with the SBIR data rights legend. These rights provide the Government limited rights in technical data and restricted rights in computer software during the SBIR data protection period commencing with contract award and ending five (5) years after submission of the last contract deliverable under the effort which generated the data. Upon expiration of the five year restrictive license, the Government has unlimited rights to the SBIR data, unless the firm receives another contract under which the SBIR data rights may be asserted. During the SBIR data protection period, the Government may not release or disclose SBIR technical data or computer software to any person except as authorized under limited rights in technical data or restricted rights for computer software.
- i. Final Report – The draft is due 30 days after completion of the Phase II technical effort. The first page of the final report will be a single-page project summary,

identifying the purpose of the work, providing a brief description of the effort accomplished, and listing potential applications of the results. The summary may be published by DoD; therefore, it must not contain any proprietary or classified information. The remainder of the report should contain details of the project objectives met, work completed, results obtained, and estimates of technical feasibility.

- ii. Status Reports – Status reports are due quarterly at a minimum. Phase IIs are generally awarded as Fixed Price Contracts. NOTE: Fixed price contracts will receive payments for each monthly status report or hardware deliverable provided through the life of the contract.
- iii. Phase II Summary Report – The Phase II summary report is due at the end of the technical effort and must be submitted via electronic form to your cognizant Contracting Officer. Each report should not exceed 700 words and should include a description of the technology and anticipated applications/benefits for Government and/or private sector use.

- b. Additional Reporting – AF may require additional reporting or documentation including:

- i. Software documentation and users' manuals;
- ii. Engineering drawings;
- iii. Operation and maintenance documentation;
- iv. Safety hazard analysis when the project will result in partial or total development and delivery of hardware; and
- v. Updates to the commercialization results.

- (10) **Related Work** – Describe significant activities directly related to the proposed effort, including any previous programs conducted by the principal investigator, proposing firm, consultants, or others, and their application to the proposed project. Also list any reviewers providing comments regarding the offeror's knowledge of the state-of-the-art in the specific approach proposed.

(11) **Commercialization Potential** –

- a. The DoD requires a commercialization plan be submitted with the Phase II proposal, specifically addressing the following questions:
 - i. What is the first planned product to incorporate the proposed technology?
 - ii. Who are the probable customers, and what is the estimated market size?
 - iii. How much money is needed to bring this technology to market and how will it be raised?
 - iv. Does your firm have the necessary marketing expertise and, if not, how will your firm compensate?
 - v. Who are the probable competitors, and what price/quality advantage is anticipated by your firm?
- b. The commercialization strategy plan should briefly describe the commercialization potential for the anticipated results of the proposed project, as well as plans to exploit it. Commercial potential is evidenced by:

- i. The small business' record of commercializing SBIR/STTR or other research, particularly as reflected in its Company Commercialization Report. The Company Commercialization Report of prior SBIR/STTR awards may be included to satisfy this requirement.
 - ii. The existence of private sector or non-SBIR/STTR funding sources demonstrating commitment to Phase II efforts/results.
 - iii. The existence of Phase III follow-on commitments for the research subject.
 - iv. The presence of other indicators of commercial technology potential, including the firm's commercialization strategy.
- c. If awarded a Phase II contract, the contractor is required to periodically update the commercialization results of the Phase II project at <https://sbir.defensebusiness.org/>. These updates will be required one (1) year after the start of Phase II, at completion of Phase II, and subsequently when the contractor submits a new SBIR/STTR proposal to DoD. Firms not submitting a new proposal to DoD will be requested to provide updates annually after completion of the Phase II.

(12) Military Applications – Briefly describe the existing/potential military requirement and the military potential of the SBIR/STTR Phase I results. Identify the DoD agency/organization most likely to benefit from the project. State if any DoD agency has expressed interest in, or commitment to, a non-SBIR, Federally-funded Phase III effort. This section should involve not more than one to two (1-2) paragraphs. Include agency point of contact names and telephone numbers.

(13) Relationship with Future Research or Research and Development (R/R&D) Efforts –

- a. State the anticipated results of the proposed approach, specifically addressing plans for Phase III, if any.
- b. Discuss the significance of the Phase II effort in providing a basis for the Phase III R/R&D effort, if planned.

(14) Key Personnel – In the technical volume, identify all key personnel involved in the project. Include information directly related to education, experience, and citizenship. A technical resume for the principal investigator, including publications, if any, must also be included. Concise technical resumes for subcontractors and consultants, if any, are also useful. You must identify all non-U.S. citizens expected to be involved in the project as direct employees, subcontractors, or consultants. For these individuals, in addition to technical resumes, please provide countries of origin, type of visas or work permits under which they are performing, and explanation of their anticipated level of involvement in the project.

When the topic area is subject to export control, these individuals, if permitted to participate, are limited to work in the public domain. Further, tasks assigned must not be capable of assimilation into an understanding of the project's overall objectives. This prevents foreign citizens from acting in key positions, such as Principal Investigator, Senior Engineer, etc. Additional information may be requested during negotiations in order to verify foreign citizens' eligibility to perform on a contract awarded under this Announcement.

(15)**Facilities/Equipment** – Describe instrumentation and physical facilities necessary and available to carry out the Phase II effort. Justify equipment to be purchased (detail in cost proposal). State whether proposed performance locations meet environmental laws and regulations of Federal, state, and local Governments for, but not limited to, airborne emissions, waterborne effluents, external radiation levels, outdoor noise, solid and bulk waste disposal practices, and handling and storage of toxic and hazardous materials.

(16)**Consultants/Subcontractors** – Private companies, consultants, or universities may be involved in the project. All should be described in detail and included in the cost proposal. **In accordance with the Small Business Administration (SBA) SBIR Policy Directive, a minimum of 50% of the R/R&D must be performed by the proposing firm, unless otherwise approved in writing by the Contracting Officer.** Signed copies of all consultant or subcontractor letters of intent must be attached to the proposal. These letters should briefly state the contribution or expertise being provided. Include a SOW and detailed cost proposal. Include information regarding consultant or subcontractor unique qualifications. Subcontract copies and supporting documents do not count against the Phase II page limit. Identify any subcontract/consultant foreign citizens per (14) above.

(17)**Prior, Current, or Pending Support of Similar Proposals or Awards** – WARNING: While it is permissible, with proper notification, to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under numerous Federal program Announcements, it is unlawful to enter into contracts or grants requiring essentially equivalent effort. Any potential for this situation must be disclosed to the Announcement agency (ies) before award. If a proposal submitted in response to this Announcement is substantially the same as another proposal previously, currently, or in process of being funded by another Federal agency/DoD Component or the same DoD Component, the company must so indicate on the coversheet and provide the following:

- a. The name and address of the Federal agency (ies) or DoD Component(s) to which proposals were or will be submitted, or from which an awarded is expected or has been received;
- b. The date of proposal submission or date of award;
- c. The title of the proposal;
- d. Name and title of the principal investigator for each proposal submitted or award received; and
- e. Title, number, and date of Announcement(s) under which the proposal was or will be submitted, or under which an award is expected or has been received.
- f. If award was received, provide the contract number.
- g. Specify the applicable topics for each SBIR proposal submitted or award received.

NOTE: If this does not apply, state in the proposal, “No prior, current, or pending support for proposed work.”

(18)**Cost Proposal** – A detailed cost proposal must be submitted. Cost proposal information will be treated as proprietary. Proposed costs must be provided by both individual cost element and contractor fiscal year (FY) in sufficient detail to determine the basis for estimates, as well as the

purpose, necessity, and reasonableness of each. This information will expedite award of the resulting contract if the proposal is selected for award. Firm Fixed Price (FFP) contracts are appropriate for Phase II awards, and payments shall be tied to measurable milestones, such as monthly status reports or deliverables.

All Phase II proposals should indicate whether an accounting system review was previously performed by DCAA and, if so, the contact information for the auditor. Without a Government-approved accounting system, a Cost type contract is not allowed. Any questions regarding this matter should be discussed with the AF Phase I Contracting Officer.

The cost proposal does not count toward Phase II proposal page limitations. The cost proposal includes:

- a. Direct Labor – Identify key personnel by labor category. Number of hours, actual hourly rates, labor overhead, and/or fringe benefits per contractor FY is also required.
- b. Direct Materials – Costs for materials, parts, and supplies must be justified and supported. Provide an itemized list of types, quantities, prices, and, where appropriate, purpose. If computer or software purchases are planned, detailed information such as manufacturer, price quotes, proposed use, and support for the need will be required.
- c. Other Direct Costs – This includes specialized services such as machining or milling, special test/analysis, and costs for temporary use/lease of specialized facilities/equipment. Provide usage (hours) expected, rates, and sources, as well as brief discussion concerning the purpose and justification. Proposals including leased hardware must include an adequate lease versus purchase rationale.

Special tooling/test equipment/material costs are acceptable but will be carefully reviewed to determine the need/appropriateness of the work proposed. The Contracting Officer must decide whether these purchases are advantageous to the Government and are directly related to the proposed effort. Title to property furnished by the Government will be vested with the AF unless determined to be more cost-effective for transfer to the contractor. The Government's intention is not to directly fund purchase of general purpose equipment.
- d. Subcontracts – Subcontract costs must be supported with copies of the subcontract agreements. Agreement documents must adequately describe the work to be performed and basis for cost. The agreement document should include a SOW, assigned personnel, hours and rates, materials (if any), and proposed travel (if any). A letter from the subcontractor agreeing to perform a task or tasks at a fixed price is not considered sufficient. The proposed total of all consultant fees, facility leases or usage fees, and other subcontract or purchase agreements may not exceed one-half of the total contract price or cost, unless otherwise approved in writing by the Contracting Officer.

IAW FAR 15.404-1, price analysis, including reasonableness, realism, and completeness, of the proposed subcontractor costs by the prime is required. If based on comparison with prior efforts, identify the basis upon which the prior prices were determined to be reasonable. If price analysis techniques are inadequate or the FAR requires submission of subcontractor cost or pricing data, provide a cost analysis IAW FAR 15.404-1(c). Cost analysis includes, but is not limited to, consideration of materials, labor, travel, other direct costs, and proposed profit rates.

- e. Consultants – For each consultant, provide a separate agreement letter briefly stating the service to be provided, hours required, and hourly rate and include a short, concise resume.
- f. Travel – Each Phase II effort, at a minimum, should include a kickoff or interim meeting. Travel costs must be justified as related to the needs of the effort. Include destinations, the number of trips, number of travelers per trip, airfare, per diem, lodging, ground transportation, etc. Information regarding per diem and lodging rates may be found in the Joint Travel Regulation (JTR), Volume 2, www.defensetravel.dod.mil.
- g. Indirect Costs – Indicate the basis of the proposed rates, e.g., budgeted/actual rates per FY, etc. The proposal should identify the specific rates used and allocation bases to which they are applied. Do not propose composite rates; proposed rates and applications per FY throughout the anticipated performance period should be provided.
- h. DD Form 2345 – For proposals submitted under export-controlled topics (either International Traffic in Arms (ITAR) and Export Administration Regulations (EAR)), a copy of the certified DD Form 2345, Militarily Critical Technical Data Agreement, or evidence of application submission must be included. The form, instructions, and FAQs may be found at the United States/Canada Joint Certification Program website, <http://www.dlis.dla.mil/jcp/>. Approval of the DD Form 2345 will be verified if proposal is chosen for award.

E. Company Commercialization Report – All Phase II proposals must contain a “Commercialization Report of Prior SBIR Awards”. This report should be submitted as an attachment or enclosure and will not count against the 50-page limitation. The online Company Commercialization Report may be used to fulfill this requirement. As instructed in paragraph 11.2 of the DoD Announcement, prepare the report using the password-protected DoD SBIR Electronic Submission Site, <https://sbir.defensebusiness.org/>.

IV. METHOD OF SELECTION AND EVALUATION CRITERIA

A. Introduction: Phase II proposals are evaluated on a competitive basis by subject matter expert (SME) scientists, engineers, or other technical personnel. Throughout evaluation, selection, and award, confidential proposal and evaluation information will be protected to the greatest extent possible.

B. Evaluation Criteria: Phase II proposals will be reviewed for overall merit based on following criteria published in the DoD SBIR Announcement in descending order of importance:

- (1) Technical Merit – The soundness, technical merit, and innovation of the proposed approach and its incremental progress toward topic or subtopic solution.
- (2) Qualifications of the Principal Investigator (and Team) – Qualifications of the proposed principal/key investigators, supporting staff, and consultants. Qualifications include not only the ability to perform the R/R&D but also to commercialize the results.
- (3) Potential for Commercial Application – The potential for commercial (Government or private sector) application and the benefits expected to accrue from it.

Other factors considered during the selection process are results of the Phase I effort; commitment for Phase III funding; possible duplication with other R/R&D; program balance; budget limitations; and potential, if successful, of leading to a product of continuing interest to DoD. Where technical evaluations are essentially equal in merit, and as cost and/or price is a substantial factor, cost to the Government will be considered in determining the successful offeror. AF anticipates pricing will be based on adequate price competition. The next tie-breaker on essentially equivalent proposals is the inclusion of manufacturing considerations. Phase II evaluations may include on-site assessment of the Phase I results to date, or of the Contractor's facility, by Government personnel. The reasonableness of proposed costs for the Phase II effort will be examined to determine proposals offering the best value to the Government.

Once the effort is determined to have potential to meet DoD objectives, as well as meeting market needs, the firm is encouraged to pursue private sector or non-SBIR Government funding for a follow-on Phase III effort. Phase III can cover a broad range of activities from commercial application of SBIR- funded R/R&D by non-Federal sources of capital (within Federal Government, would be a subcontract to a Federal contract); SBIR-derived products/services intended for use by the Federal Government, funded by non-SBIR sources of Federal funding; or continuation of R/R&D, previously competitively selected using peer review or merit-based selection procedures, funded by non-SBIR Federal funding sources.

NOTE: Restrictive notices notwithstanding, proposals may be handled for administrative purposes only, by support contractors; Bytecubed, Ventech, and/or Peerless Technologies. In addition, only Government employees and technical personnel from Federally Funded Research and Development Centers (FFRDCs) MITRE and Aerospace Corporations working under contract to provide technical support to AF Life Cycle Management Center and Space and Missiles Centers may evaluate proposals. All support contractors are bound by appropriate non-disclosure agreements. If you have concerns about any of these contractors, you should contact the AF SBIR/STTR Contracting Officer, Gail Nyikon, gail.nyikon@us.af.mil.

V. CERTIFICATIONS

In addition to the standard Federal and DoD procurement certifications, the SBA SBIR/STTR Policy Directives require the collection of certain information from firms at the time of award and during the award life cycle. Each firm must provide this additional information at the time of the Phase II award, prior to receiving 50% of the total award amount for a Phase II award, and prior to final payment on the Phase II award. This certification is available in the "Compliance with Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Rules" training on slide 29.

VI. DEBRIEFINGS

In accordance with FAR 15.505, a debriefing may be requested in writing. Consistent with the DoD SBIR/STTR Announcements, the request must be received within 30 days after receipt of notification of non-selection. Written requests for debrief must be sent directly to the Contracting Officer named on your non-selection notification. Requests should include the company name and telephone number/email address for a company point of contact, as well as an alternate. Also include the topic number under which the proposal was submitted and the proposal number. Requests received more

than 30 days after receipt of notification of non-selection will be fulfilled at the Contracting Officers' discretion. Unsuccessful offerors are entitled to no more than one debriefing per proposal. NOTE: FAR 15.505(a) (2) states, at the offeror's request, debriefs may be delayed until after award. Under the AF SBIR/STTR Programs, debriefs are automated and standardized. Therefore, pre- and post-award debriefs are identical.

VII. PHASE II PROPOSAL SUBMISSION CHECKLIST

- A. Proposal
 - 1) DoD Coversheet
 - 2) Technical Proposal and Appendices
 - 3) Cost Proposal
- B. Proposal Attachments
 - 1) Company Commercialization Report
 - 2) Compliance with SBIR/STTR Program Rules Certificate
 - 3) SBIR/STTR ESOH Questionnaire

**AIR FORCE SMALL BUSINESS INNOVATION RESEARCH (SBIR)/
SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAMS “COMPLIANCE WITH
SBIR/STTR PROGRAM RULES”**

The undersigned has fully and completely reviewed this training on behalf of the proposer/awardee, understands the information presented, and has the authority to make this certification on behalf of the proposer/awardee. The undersigned understands providing false or misleading information during any part of the proposal, award, or performance phase of a SBIR or STTR contract or grant may result in criminal, civil or administrative sanctions, including but not limited to: fines, restitution, and/or imprisonment under 18 USC 1001; treble damages and civil penalties under the False Claims Act, 31 USC 3729 et seq.; double damages and civil penalties under the Program Fraud Civil Remedies Act, 31 USC 3801 et seq.; civil recovery of award funds; suspension and/or debarment from all federal procurement and non-procurement transactions, FAR Part 9.4 or 2 CFR Part 180; and other administrative remedies including termination of active SBIR/STTR awards.

Signature

Date

Name

Firm Name and Position Title

Proposal Number

SBIR/STTR Environment, Safety and Occupational Health (ESOH) Questionnaire

Company Name:

Title:

1. Will hazardous materials (as defined by Federal Standard 313D, Material Safety Data, Transportation Data and Disposal Data for Hazardous Material Furnished to Government Activities and 40 CFR Part 260 – 279) be used in the contract?

Yes ☐ **No** ☐

If the answer is "yes," list materials:

2. Will explosives or ammunition be used in research? (See definitions listed below before answering.)

Yes ☐ **No** ☐

Explosives and ammunition mean:

- (a.) Liquid and solid propellants and explosives, pyrotechnics, incendiaries and smokes in the following:

- (i) Bulk;
- (ii) Ammunition;
- (iii) Rockets;
- (iv) Missiles;
- (v) Warheads;
- (vi) Devices; and
- (vii) Components of (i) through (vi), except for wholly inert items.

- (b.) This definition does not include the following, unless the contractor is using or incorporating these materials for initiation, propulsion, or detonation as an integral or component part of an explosive, an ammunition or explosive end item, or of a weapon system.

- (i) Inert components containing no explosives, propellants, or pyrotechnics;
- (ii) Flammable liquids;
- (iii) Acids;
- (iv) Oxidizers;
- (v) Powdered metals; or
- (vi) Other materials having fire or explosive characteristics.

If the answer is "yes," list items:

3. Will any hazardous processes be performed under the contract? Examples include operation of heavy equipment or power tools, operation of lasers or radio frequency radiation emitters, use of high voltage (greater than 600 volts) equipment, or use of equipment operating at high pressure (greater than 60 psig) or high temperature (greater than 50°C).

Yes ☐ **No** ☐

If the answer is "yes," list processes:

4. Will this research be completed on a U.S. Air Force installation?

Yes ☐ No ☐

If the answer is "yes," list facilities:

5. Will the contract require the purchase, storage use or delivery of any chemicals or hazardous material to USAF facilities?

Yes ☐ No ☐

If the answer is "yes," list chemicals or hazardous materials:

6. Will any hazardous chemical or waste be generated during the course of this research?

Yes ☐ No ☐

If the answer is "yes," specify the hazardous chemical or waste to be generated:

7. Will any Class I ozone depleting substances (ODSs) be required in this research?

A list of Class I ODSs is located at the following website: <http://www.epa.gov/ozone/ods.html>

Yes ☐ No ☐

If the answer is "yes," list substances:

8. Does this effort involve the purchase or use of any radioactive materials?

Yes ☐ No ☐

If the answer is "yes," specify the radioactive materials:

9. Will this effort involve any asbestos, radiation, or chemical generating/using components that will be delivered to USAF facilities?

Yes ☐ No ☐

If the answer is "yes," specify the components:

10 Are there any special atmospheric or water resource requirements?

Yes ☐ No ☐

If "yes" specify the requirements.

Revised: 18 September, 2013